

Remarks

The independent claims recite that the total number of subscribers of a mutual fund is provided to mutual fund management at the close of the subscription period.

5 Examiner admits the D'amico and Stewart references do not show these features.

Ricketts does not show these features either. Column 17 lines 17-18 refer to identifying the number of subscribers to an index fund, not a mutual fund as claimed.

10 And as much as Applicants' attorney appreciated that Examiner did seek out a statement that a different field, security interests could be replaced by mutual funds, that only refers to the tracking of the interests held by each subscriber, and not the number of subscribers identified,
15 and thus is not applicable to the claimed feature.

Furthermore, the claims recite that the number of subscribers is provided to management of the mutual fund, and that it is done so responsive to the subscription period for the mutual fund having ended, and none of the
20 references is asserted or believed to have taught or suggested these features.

Regarding the official notice of claims 5 and 13, Joseph was filed a year AFTER the filing date of the

present application. Joseph's provisional, filed about the same time period as the present application) provides no such linked application page, and teaches away from such a thing in the crossover paragraph of pages 5 and 6 by
5 stating that the application has to be mailed in. Thus, Examiner is requested to provide evidence of this feature.

Respectfully submitted,

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